



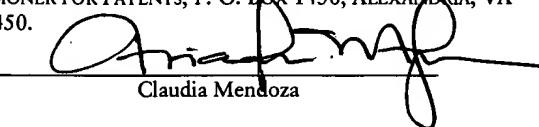
PATENT

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: JONES, Christopher L. et al.	Examiner: DIXON, T.
Serial No.: 09/495,982	Group Art Unit: 3629
Filed: February 1, 2000	Docket No. 59036-249728
For: FINANCIAL ADVISORY SYSTEM	

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The documents listed on the enclosed Form PTO/SB/08a-b are presented under 37 C.F.R. § 1.97(c) pursuant to Applicant's duty of disclosure. Copies of each of these documents are enclosed. Therefore, applicant has included a fee under § 1.17(p) of \$180.00.

Enclosed is our credit card payment form in the amount of \$180.00 for the submission of the Supplemental Information Disclosure Statement. The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 06-0029 and notify us of the same.

If the examiner has any questions, please contact the undersigned attorney.

Respectfully Submitted,
FAEGRE & BENSON, LLP

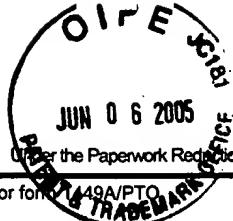
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

<i>Complete if Known</i>	
Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number – Kind Code ² (if known)			
		US 5,553,212	09-03-1996	Etoh	
		US 5,799,287	08-25-1998	Dembo	
		US 5,907,801	05-25-1999	Albert	
		US 5,918,218	06-29-1999	Harris	
		US 5,978,778	11-02-1999	Oshaughnessy	
		US 6,012,044	01-04-2000	Maggioncalda	
		US 6,021,397	02-01-2000	Jones et al.	
		US 6,078,904	06-20-2000	Rebane	
		US 6,125,355	09-26-2000	Bekaert	
		US 6,275,814	08-14-2001	Giansante	
		US 6,292,787	09-18-2001	Scott	
		US 6,601,044	07-29-2003	Wallmain	

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Application Number	09/495,982
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Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		ANONYMOUS., "Interactive Software Eases 401(k) Planning." Bank Marketing. V26. No. 10. 1994; p.56.	
		AUTHOR UNKNOWN., "Interactive Variable Control During Visualization of Mathematical Functions." IBM Technical Disclosure Bulletin. Vol. 34. No. 9. 1992; pp.288-289.	
		AUTHOR UNKNOWN., "Microsoft Excel 97 Intermediate." © Cheltenham Computer Training 1995-2001. www.cctglobal.com. pp. 26- 30.	
		BOWERS, N.L., "Actuarial Mathematics." The Society of Actuaries. 1986; pp.52-59.	
		CARHART, M., "On Persistence in Mutual Fund Performance." The Journal of Finance. Vol. 52. No.1. 1997; pp. 57-82.	
		KARIYA, T., "Elements of Financial Science." Toyo Keizai Shimpo, K.K., September 25, 1997, pp. 71-101 (Capter 5) and p.p. 117-133 (Chapter 7).	
		MURRAY, G.W. et al. "Practical Optimization." Academic Press. Chapter 5. 1981.	
		SOCIETY OF ACTUARIES., "1994 Group Annuity Mortality Table and 1994 Group Annuity Reserving Table." Vol. 47. 1994; pp. 865-913.	

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citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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